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Before the FEDERAL COMMUNICATIONS COMMISSION Washington, D.C. 20554

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In the Matter of)))	
Amendment of the Commission's Rules Regarding Multiple Address Systems		WT Docker REGENED
		SEP 1 7 1999
To: The Commission		FEDERAL COMMUNICATIONS COMMISSION OFFICE OF THE SECRETARY

COMMENTS OF THE ASSOCIATION OF AMERICAN RAILROADS

The Association of American Railroads ("AAR"), by its undersigned counsel, pursuant to Section 1.415 of the rules of the Federal Communications Commission ("Commission"), hereby submits its comments in response to the above captioned Further Notice of Proposed Rule Making.²

I. Background and Preliminary Statement

AAR is a voluntary, non-profit organization composed of Class I member railroad companies operating in the United States, Canada and Mexico. AAR is the joint representative and agent of these railroads in connection with federal regulatory matters of common concern to the industry as a whole, including matters pertaining to regulation of communications. In addition, AAR functions as the frequency coordinator with respect to operation of land mobile and other radio-based services. Accordingly AAR is pleased to have this opportunity to share its views with the Commission regarding the licensing of Multiple Address Systems ("MAS").

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See 47 C.F.R. § 1.415.

WT Docket No. 97-81, <u>Further Notice of Proposed Rule Making</u>, (FCC 99-101), (rel. July 1, 1999)("<u>Further Notice</u>").

AAR has been an active participant in this proceeding and has previously expressed its views on many of the issues raised in the Further Notice in its Comments filed in response to the initial Notice of Proposed Rule Making this proceeding.
Specifically, AAR believes that the Commission should license MAS systems according to three core principles. First, the Commission should create an exclusive allocation of MAS frequencies for private internal use by those industries that support the nation's critical infrastructure, such as the railroads, pipelines and utilities. Second, the Commission must avoid geographic licensing for private MAS systems. Finally, the Commission must ensure that private internal MAS licenses are not awarded by auction. Because these issues have been raised again in the Further Notice, AAR hereby incorporates by reference its prior filings in this proceeding. Copies of these pleading are attached to these Comments for inclusion in the record. Now, AAR hereby submits its Comments in response to the issues raised for the first time in the Further Notice.

II. Private MAS Licenses are not Subject to Auction

The principal issue of concern to AAR in the <u>Further Notice</u> is whether the amendments to the Commission's auction authority, adopted in the Balanced Budget Act of 1997 ("Budget Act"), affect Commission policies regarding the licensing of MAS

See Comments of the Affiliated American Railroads, (May 1, 1997); Reply Comments of the Affiliated American Railroads, (May 15, 1997), filed in response to the Notice of Proposed Rule Making, WT Docket 97-81, 12 FCC Rcd. 7973. (For purposes of attribution, all pleadings filed by the Affiliated American Railroads may be ascribed to the Association of American Railroads.)

frequencies for private internal use.⁴ From AAR's perspective, nothing in the Budget Act has altered the Commission's licensing authority with respect to railroad licenses in the 928/952/956 MHZ bands. These licenses are subject to frequency co-ordination and are issued on a first-come, first-served site-by-site basis. Consequently, mutually exclusive applications are not filed, and there is no basis for the Commission to consider auctions as a licensing mechanism for these frequencies. In the <u>Further Notice</u>, the Commission agreed with this conclusion stating "we believe that the incidents of mutual exclusivity would be rare because the site-based applications would be frequency coordinated prior to their filing with the Commission."⁵

In addition, even if the Commission were to consider auctions as a licensing mechanism for these frequencies, the railroads' use of these channels qualifies as a "public safety radio service" as defined by Section 309(j)(2) of the Communications Act,⁶ and therefore would be exempt from the Commission's auction authority. As the Commission properly noted in the <u>Further Notice</u>, Congress intended the definition of public safety services, for purposes of the auction exemption, to include "private internal

See Further Notice at ¶¶ 14-24.

⁵ <u>Further Notice</u> at ¶ 24.

See 47 U.S.C. § 309(j)(2). (AAR has submitted its complete analysis of the Commission's revised auction authority in its Comments in the proceeding implementing the Budget Act; see, Comments of the Association of American Railroads, (filed August 2, 1999) filed in response to the Notice of Proposed Rule Making, WT Docket 99-87, (FCC 99-52) (rel. March 25, 1999). AAR hereby incorporates those Comments by reference herein.)

radio services" used by, *inter alia*, railroads, pipelines, and utilities.⁷ Accordingly, the Commission has no authority to auction MAS frequencies allocated for use by the railroads.

III. The Freeze on the Acceptance of Private MAS Applications Must be Lifted

Despite the Commission's own tentative conclusions that auctions are inappropriate for MAS frequencies in the 928/952/956 MHz band, the <u>Further Notice</u> imposed a freeze on the acceptance of applications for these frequencies because of "uncertainty regarding whether to employ geographic area licensing and auctions for these bands." In response to this freeze, AAR, with the United Telecom Council and the American Petroleum Institute, submitted an <u>Emergency Request for Limited</u>

<u>Exception to Application Freeze</u> ("<u>Emergency Request</u>") seeking an exception to the licensing freeze for railroad, utility and pipeline applications in the 928/952/956 MHz bands.

AAR will not restate all of its arguments from the <u>Emergency Request</u>, but rather takes this opportunity to urge the Commission to act on the <u>Emergency Request</u> as expeditiously as possible. As noted in the <u>Emergency Request</u>, the freeze on these applications has been particularly harmful to the railroad industry. Because of this freeze, ongoing projects to upgrade switching and signaling systems that control long

⁷ See <u>Further Notice</u> at ¶ 18, <u>citing</u> H.R. Conf. Rep. No. 105-217, 105th Cong., 1st Sess., at 572.

l<u>d</u> at ¶ 28.

⁹ <u>See Emergency Request for Limited Exception to Application Freeze</u>, WT Docket No. 97-81, filed July 23, 1999, by the United Telecom Council, the American Petroleum Institute and the Association of American Railroads.

stretches of railroad have been halted. As long as this freeze remains in effect, these systems can not be upgraded, increasing the potential that the reliability of these communications systems will be compromised. Accordingly, AAR urges the Commission to grant the Emergency Request now, before addressing the rest of the issues in this proceeding.

IV. Conclusion

In adopting rules implementing amendments to the Commission's auction authority as proposed in this proceeding, the Commission must consider very carefully the impact of its rules on the diverse private radio community, especially with respect to the freeze on applications in those services operating in safety-critical businesses such as the railroad industry. Accordingly, AAR urges the Commission to act in accordance with the recommendations set forth above.

Respectfully submitted,

ASSOCIATION OF AMERICAN RAILROADS

By:

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Date: September 17, 1999

Certificate of Service

I, Helene McGrath, of the law firm of Verner, Liipfert, Bernhard, McPherson and Hand, hereby certify that a copy of the foregoing was served this 17th day of September, 1999, via first class mail, postage prepaid, upon the following:

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OFFICE OF SECRETARY

In the Matter of

Amendment of the Commission's Rules Regarding Multiple Address Systems WT Docket No. 97-844

To: The Commission

COMMENTS OF THE AFFILIATED AMERICAN RAILROADS

The Affiliated American Railroads¹ by their undersigned counsel, hereby submit their Comments in response to the <u>Notice of Proposed Rule Making</u> ("<u>NPRM</u>") in the above-captioned proceeding.²

The railroad industry employs MAS spectrum for a variety of fixed point-to-multipoint applications which are integral for train control communications. The railroads' MAS systems are the "last mile" of the RF networks that are used exclusively for the railroads' internal, private use to ensure the safe operation of the nations' railroads. Typically, the MAS links serve as the terminus at trackside locations of the centralized-train-control (CTC) and computer-aided-dispatch (CAD) systems that control train operations. They represent the RF "connection" between the railroads' computerized control centers and the switch and signal units at trackside and rail yard locations. A

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^{1/} The Affiliated American Railroads consist of four Class I railroads operating in the U.S. and Canada: Canadian National, Conrail, CSX and Union Pacific.

^{2/} Amendment of the Commission's Rules Regarding Multiple Address Systems, Notice of Proposed Rule Making, WT Docket No. 97-81, FCC 97-58 (released February 27, 1997) ("NPRM").

typical railroad MAS link will control approximately 5-7 train operation sites; control of as many as 30 sites is possible from MAS transmitters at high elevations.

Currently, MAS systems are licensed on a site-by-site basis, upon application to the Commission, subject to certain operational rules such as standard mileage separation requirements and frequency separation requirements. In the NPRM, the Commission inquired as to whether it should create a separate allocation for private users of the MAS bands and whether it should impose a geographic licensing plan on MAS bands currently used for the private, internal communications needs of licensees. For the reasons described below, the railroads urge the Commission to create a purely private allocation and not to adopt a geographic licensing plan for these private use bands.

1. The Commission Should Create an Exclusively Private MAS Allocation

In the NPRM, the Commission noted that licensees in the 928/952/956 MHz bands appear to be using their MAS spectrum overwhelmingly for private service.^{3/} The Commission tentatively concluded, therefore, that the 928/952/956 MHz bands should be designated exclusively for private, internal use. The Commission also sought comment on whether the existing or projected internal communications requirements of private service users justify the creation of a purely private allocation.

The railroads urge the Commission to create a private allocation. The communications needs of the railroad industry are constantly expanding as safety and operational functions are automated to increase the efficiency and safety of railroad

^{3/} NPRM, ¶ 12.

operations. The railroad industry employs a wide variety of wireless communications systems to handle these increased demands. These systems, including the railroads' MAS systems, operate at or near capacity in many areas of the country. This projected increase in the need for MAS frequencies by the railroads, coupled with the railroads' already extensive existing use of MAS frequencies, dictates that the Commission should create a purely private MAS allocation.

II. The Commission Should not Adopt Geographic Licensing for MAS Bands used for Licensees' Private, Internal Communications

Although it recognized the internal, private nature of the use of MAS spectrum in the 928/952/956 MHz bands, the Commission nonetheless asked for comment on whether geographic licensing should be employed for these bands if it finds that the principal use of these bands involves, or is reasonably likely to involve, subscriber-based service. The railroad industry urges the Commission to reject geographic licensing for MAS bands used for private communications needs and submits that the Commission's inquiry into the use of these bands is unnecessary in light of its conclusion in the NPRM that licenses in the 928/952/956 MHz bands are used "overwhelmingly" for private, internal communications needs. The Commission noted that geographic area licenses are appropriate where licensees provide, or are likely to provide, subscriber-based services. This is because these subscriber-based services produce revenue for the licensees, which will allow them to obtain these geographic based licenses via auction. In contrast to subscriber-based services, the use of MAS frequencies by private users such as railroads does not generate revenue which would enable these users to pay for

geographic licenses. In addition, private users require communications capabilities at specific sites where train operations are located -- they simply do not need geographic area licenses.

III. The Commission Must Ensure that MAS Bands used for Private, Internal Communications are not Awarded by Auction

The Commission proposed that competitive bidding be used as a means of awarding MAS licenses for those bands which it concludes are used, or will likely be used to provide subscriber-based services. These include the 932/941 and 928/959 MHz MAS bands. In discussing the use of auctions, the Commission again mentioned that it sought comment on how frequencies in the 928/952/956 MHz bands are currently being used by licensees. Again, the railroads note that the Commission stated in the NPRM that the use of the frequencies in these bands was "overwhelmingly" for private service. Having made this determination, the railroads urge the Commission to refrain from subjecting these bands to competitive bidding for the award of licenses. Auctions are clearly an inappropriate means of awarding licenses for the type of private, non-revenue producing safety and operational uses employed by railroads and other private users. Indeed, the Commission's own statement that these bands are "used overwhelmingly for private service" precludes the use of auctions, which may be employed only where "the principal use of the spectrum will involve, or is reasonably likely to involve, the receipt by the licensee of compensation from subscribers."

^{4/ 47} U.S.C. § 309(j)(2)(a).

IV. Incumbent Licensees Must be Permitted to Expand Their MAS Systems Without Undue Restraint

In the NPRM, the Commission recognized that it must assess the impact that its geographic licensing proposal would have on incumbent licensees which are licensed on a site-by-site basis. The Commission noted that it was concerned with the effect of the proposal on those licensees in the 928/952/956 bands which use their MAS systems for private, internal communications needs and concluded that, in the event it adopts a geographic licensing approach for these bands, it would allow incumbent licensees to continue operating under their current authorization. Under the Commission's proposal, new geographic licensees would be required to provide protection to all cochannel incumbent systems that are constructed and operating within their geographic license area. The railroads support these proposals as they provide needed protection to incumbent licensees.

The railroads are concerned, however, that the Commission's proposals concerning an incumbent licensee's ability to obtain additional licenses will unduly restrict the incumbent's ability to expand its system in response to the anticipated need for additional MAS spectrum discussed above. The Commission proposed to allow incumbents to "modify or augment their systems as long as they do not encroach on cochannel operations of a geographic licensee." Further, the Commission stated that

^{5/} NPRM, ¶ 19.

^{6/} Id. As stated in these Comments (supra at 3), the Affiliated American Railroads oppose the adoption of a geographic licensing approach for these bands.

^{7/} NPRM, ¶ 19.

incumbents could not expand their existing systems without the consent of the geographic licensee. To ensure that incumbents are afforded adequate protection, the Commission proposed a protected service area of 25 miles for incumbents' operations. This may not be enough. Some railroad MAS systems provide coverage to train operation locations as far as 40 miles away from the MAS transmitter. Accordingly, the railroads recommend a 40 mile protection area.

Within the 25-mile service area, the Commission proposed to allow incumbents freely to modify existing systems or to add new radio transmitters as long as the signal level is not increased beyond this 25 mile area. If an incumbent wishes to apply for a new license which would result in an increase in the signal level of its MAS system beyond the existing 25 mile service area, the incumbent would have to obtain the permission of the geographic licensee in that area. Such a requirement will act to severely constrain the ability of incumbent licensees to expand their current MAS systems to meet legitimate operational needs that inevitably will arise in the future. In this regard, it is important to note that the railroad industry's deployment of MAS facilities is not complete. As capital budgets permit, the reach of CTC and CAD systems is continuously being expanded to encompass new areas of railroad right-of-way. Furthermore, expansion of rail service into new geographic areas is often necessary to accommodate commercial growth and industrial expansion. The construction of a new automobile plant at a location previously without rail service necessitates the construction of rail infrastructure to support the new economic activity. Obviously, that new rail infrastructure is not as productive without the

^{8/ &}lt;u>Id.</u>, ¶ 20.

necessary RF control links to support it, including MAS links. Accordingly, the Commission should allow for expansion of MAS links into new geographic areas to accompany the expansion of the underlying infrastructure that is supported by the MAS systems.

In addition, high speed rail operations in heavily populated rail corridors such as the corridor between Portland, Oregon and Seattle, Washington, are currently being investigated by the Federal Railroad Administration ("FRA"). These areas will require special attention for wayside operations and for supporting communications links, further increasing the railroads' need for MAS spectrum.

V. <u>Conclusion</u>

For the foregoing reasons, the railroad urges the Commission to adopt the suggestions made herein.

Respectfully submitted,

AFFILIATED AMERICAN RAILROADS

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Date: May 1, 1997

CERTIFICATE OF SERVICE

I, Chotima Harris, hereby certify that on this 1st day of May, 1997, copies of the foregoing "Comments of the Affiliated American Railroads" were mailed, first class postage prepaid on this 1st day of May to the following:

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Commissioner Rachelle B. Chong Federal Communications Commission 1919 M Street, N.W., Room 844 Washington, D.C. 20554

Commissioner Susan Ness Federal Communications Commission 1919 M Street, N.W., Room 832 Washington, D.C. 20554

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Before the FEDERAL COMMUNICATIONS COMMISSION OFFICE OF SECRETARY Washington, D.C. 20554

In the Matter of)	
Amendment of the Commission's Rules Regarding Multiple Address Systems)	WT Docket No. 97-81
)	

To: The Commission

REPLY COMMENTS OF THE AFFILIATED AMERICAN RAILROADS

The Affiliated American Railroads^{1/} by their undersigned counsel, hereby submit their Reply Comments in response to comments submitted by parties regarding the Notice of Proposed Rule Making ("NPRM") in the above-captioned proceeding.^{2/}

The railroad industry agrees with those commenters who urged the Commission to allocate the 928/956/958 MHz bands solely for the private, internal use of MAS licensees. As described by numerous commenters, such an allocation is necessary because the demand for MAS spectrum by private, internal users is extremely high and will grow as these users expand their communications systems to match the growth of

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^{1/} The Affiliated American Railroads consist of four Class I railroads operating in the U.S. and Canada: Canadian National, Conrail, CSX and Union Pacific.

^{2/} Amendment of the Commission's Rules Regarding Multiple Address Systems, Notice of Proposed Rule Making, WT Docket No. 97-81, FCC 97-58 (released February 27, 1997)("NPRM").

See, e.g. The American Petroleum Institute ("API") Comments at 5; Data Address Systems Partnership Comments at 4; Delmarva Power and Light Company Comments at 2; Puget Sound Energy, Inc. Comments at 3; Southern California Edison Comments at 2; UTC, The Telecommunications Association ("UTC") Comments at 16-18.

their industries. This phenomenon was described well and succinctly in the comments of Microwave Data Systems: "America's infrastructure industries need more, not less, MAS capacity on a site-by-site basis." As described in the Comments of the Affiliated American Railroads, the railroad industry's deployment of MAS is not complete. As railroads expand their operations, sufficient wireless communications capacity must be available for their operational and safety uses. MAS are an important part of the railroads' wireless communications systems, providing the critical "last mile" link in railroad communications networks for operational and safety functions. These important uses of MAS by the railroads illustrate the need for a sufficient portion of MAS spectrum to be allocated solely for private, internal use. The clear majority of commenters addressing this issue supported the Commission's tentative proposal to allocate these bands solely for the private, internal use of the licensee.

The majority of commenters also supported the continuation of site-by-site licensing for private MAS users and opposed any suggestion that these uses be licensed by geographic area. These commenters noted that site-by-site licensing was appropriate for private, internal MAS users as they only require spectrum for specific areas. Several parties also noted that geographic area licensing would be an inefficient use of MAS

^{4/} See API Comments at 6-8; UTC Comments at 4.

^{5/} See Microwave Data Systems Comments at 2.

^{6/} See Affiliated American Railroads Comments at 6.

<u>Z/</u> See Cooperative Power Association Comments at 4-5; Wells Rural Electric Company Comments at 4 (private users build out their MAS systems in a deliberate "as needed" fashion).

spectrum as private users would be licensed for a much larger area than they need for their site-specific, private operational needs.^{8/}

A number of commenters concurred with the railroads that the 25 mile protected service area proposed by the Commission may be inadequate to protect incumbent MAS licensees from harmful interference from geographic licensees if the Commission adopts geographic licensing. Black & Associates stated that many MAS operations will require protection areas well beyond this 25 mile area, while Alligator Communications, Inc. noted that MAS private users, including railroads, will exceed the 25 mile service area. CellNet Data Systems, Inc. suggested that a 45 mile radius protection area would be more appropriate for the protection of incumbents than a 25 mile area.

Several commenters also shared the railroads' concern that geographic licensing may constrain the ability of incumbent MAS licensees to expand their systems. Comsearch stated that geographic licensing would create "economic and operational serfdom" where incumbents are controlled by geographic licensees. Delmarva Power and Light opposed geographic licensing because it would mean that an incumbent licensees' systems would be "frozen from a licensing standpoint, with expansion or substantial modification of their system[s] left to the uncertainty of reaching agreement

^{8/} See API Comments at 30; GTECH Corporation Comments at 6.

^{9/} See Black & Associates Comments at 7-8.

^{10/} See Alligator Communications, Inc. Comments at 2.

^{11/} See CellNet Data Systems, Inc. Comments at 27.

^{12/} See Comsearch Comments at 5.

with a geographic licensee." The railroads agree with the concerns expressed by these commenters and urge the Commission not to adopt rules which would restrain incumbent licensees' ability to expand their MAS systems to meet their growing need for private, internal communications.

V. <u>Conclusion</u>

For the foregoing reasons, the railroads respectfully request the Commission to allocate the 928/956/958 MHz bands solely for the private, internal uses of licensees and to continue licensing this band on a site-by-site basis. The railroads also urge the Commission to ensure that incumbent MAS licensees are protected adequately from any interference by geographic licensees and are not constrained by the adoption of any geographic licensing scheme from expanding their MAS systems to meet increasing demands.

Respectfully submitted,

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Date: May 15, 1997

^{13/} See Delmarva Power and Light Company Comments at 5.

CERTIFICATE OF SERVICE

The undersigned hereby certifies that the foregoing "Reply Comments of the Affiliated American Railroads" was served by first-class mail, postage prepaid, this 15th day of May, 1997 to the following persons:

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